

FORM PTO-1449	U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 30585/9	SERIAL NO. 09/425,401
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT John S. Yates, Jr., et al.	
		FILING DATE October 22, 1999	GROUP ART UNIT 2751

U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	00 FILING DATE IF APPROPRIATE
	3,544,969	12/01/70	Rakoczi	340	172.5	Nov. 27, 1967
	3,781,823	12/25/73	Senese	340	172.5	July 28, 1972
	4,084,235	04/11/78	Hirtle	364	200	Apr. 14, 1975
	4,455,602	06/19/84	Baxter	364	200	May 22, 981
	4,575,797	03/11/86	Gruner	364	200	May 22, 1981
	5,638,525	06/10/97	Hammond	395	385	Feb. 10, 1995
	5,796,939	8/18/98	Berc, et al.	395	184.01	Mar. 10, 1997
	5,802,272	9/1/98	Sites, et al.	395	183.21	Dec. 19, 1994
	5,822,578	10/13/98	Frank	395	591	June 5, 1995
	5,832,205	11/03/98	Kelly	395	185.06	Aug. 20, 1996
	5,930,509	07/27/99	Yates	395	707	Jan. 29, 1996
	5,958,047	09/28/99	Panwar	712	237	Jun. 25, 1997

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
						YES NO
	WO 96/24895	08/15/96	PCT/US	G06F	9/22	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

		Burroughs, Preliminary Edition, B 1700 Systems Reference Manual, Burroughs Corporation (1972)
		Burroughs, B 1700 Systems Micro Implementation Language (MIL) Reference Manual, Burroughs Corporation (1973)
		Anton Chernoff, et al., FX!32, A Profile-Directed Binary Translator, IEEE Micro, Vol. 18 No. 2 pp. 56-64 (March/April, 1998)
		T.M. Conte, et al., "Accurate and practical profile-driven compilation using the profile buffer," Proceedings of the 29 th Annual International Symposium on Microarchitecture, Paris, France, pp. 36-45 (Dec. 1996)
		T.M. Conte, et al., "Hardware based profiling: An effective technique for profile-driven optimization," International Journal of Parallel Programming, vol. 24, no. 2 (Feb. 1996)
		T.M. Conte, et al., "Using branch handling hardware to support profile-driven optimization," Proceedings of the 27 th Annual International Symposium on Microarchitecture San Jose, CA (Dec. 1994)

EXAMINER	DATE CONSIDERED
Chen, G	4-15-04

Duplicate of Paper #5

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO. 30585/9	SERIAL NO. 09/425,401
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)			APPLICANT John S. Yates, Jr., et al.	
			FILING DATE October 22, 1999	GROUP ART UNIT 2751
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)				
J.S. Cox et al., "Commercializing profile-driven optimization." Proceedings of the 28 th Hawaii International Conference on System Sciences, vol. 1 Maui, HI, pp. 221-228 (Jan. 1995)				
Digital Equipment Corp., White Paper: How DIGITAL FX!32 Works (September 1997) http://www.digital.com/semiconductor/amt/fx32/fx-white.htm				
Ebciooglu and Altman, IBM Research Report, DAISY: Dynamic Compilation for 100% Architectural Compatibility, IBM Research Division (1996)				
Ronald M. Guffin, Microdiagnostics for the Standard Computer MLP-900 Processor, IEEE Transactions on Computers, Vol. C-20 No. 7, pp. 803-808 (July 1971)				
Linley Gwennap, MDR Technical Library Special Report, Intel's Merced and IA-64 Technology and Market Forecast, IA-64 Software Model - Chapter 3 excerpt Microprocessor Report, MicroDesign Resources (July 20, 1998)				
Linley Gwennap, MDR Technical Library Special Report, Intel's Merced and IA-64: Technology and Market Forecast, Executive Summary, Microprocessor Report, MicroDesign Resources (July 20, 1998)				
Linley Gwennap, First Merced Patent Surfaces, Intel Document Reveals Processors With Dual Instruction Sets, Microprocessor Report, MicroDesign Resources (July 20, 1998)				
R.E. Hank, et al., Proceeding of the 28 th Annual International Symposium on Microarchitecture, pp. 158-168 (Dec. 1995)				
Raymond J. Hookway, et al., Combining Emulation and Binary Translation (August 28, 1997) http://www.digital.com/info/DTJP01HM.HTM				
Harold W. Lawson, Jr., et al., Functional Characteristics of a Multilingual Processor, IEEE Transactions on Computers, Vol. C-20, No. 7, pp. 732-742 (July, 1971)				
K.N.P. Menezes, "Hardware-based profiling for program optimization," Ph.D. thesis, Department of Electrical and Computer Engineering, North Carolina State University, Raleigh, North Carolina (1997)				
Nanodata Corporation, QM-1 Hardware level User's Manual (1975)				
Nanodata Corporation, QM-2 Processor (1976)				
Robert F. Rosin, Contemporary Concepts of Microprogramming and Emulation, Computing Surveys, Vol. 1 No. 4, pp. 197-212 (December 1969)				
Robert F. Rosin, An Environment for Research in Microprogramming and Emulation, Communications of the ACM, Vol. 15 No. 8, pp. 748-760 (August 1972)				
Standard Computer Corp., IC-9000 Central Processing Unit - Principles of Operation (undated - possibly 1969)				
W.T. Wilner, Design of the Burroughs B1700, Fall Joint Computer Conference, pp. 489-497 (1972)				
W.T. Wilner, Burroughs B1700 Memory Utilization, Fall Joint Computer Conference, pp. 579-586 (1972)				
EXAMINER			DATE CONSIDERED	

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY. DOCKET NO.
5231.9-4016SERIAL NO.
09/425,401

APPLICANT

John S. Yates, Jr., et al.

FILING DATE

October 22, 1999

GROUP ART UNIT

2751 2/24 FEB 25 2002

5

RECEIVED

Technology Center 2100

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
Conis, G	3,544,969	12/01/1970	Rakoczi	340	172.5	Nov. 27, 1967
O P I E	3,781,823	12/25/1973	Senese	340	172.5	July 28, 1972
	4,084,235	04/11/1978	Hirtle	364	200	Apr. 14, 1975
1 FEB 15 2002	4,455,602	06/19/1984	Baxter	364	200	May 22, 981
PTO & TRADEMARK OFF	4,575,797	03/11/1986	Gruner	364	200	May 22, 1981
	5,542,109	07/30/1996	Blomgren	395	800	Aug. 31, 1994
	5,638,525	06/10/1997	Hammond	395	385	Feb. 10, 1995
	5,659,679	08/19/1997	Alpert	395	183.1	May 30, 1995
	5,796,939	08/18/1998	Berc, et al.	395	184.01	Mar. 10, 1997
	5,802,272	09/01/1998	Sites, et al.	395	183.21	Dec. 19, 1994
	5,802,373	09/01/1998	Yates	395	705	Jan. 29, 1996
	5,822,578	10/13/1998	Frank	395	591	June 5, 1995
	5,832,205	11/03/1998	Kelly	395	185.06	Aug. 20, 1996
	5,842,017	11/24/1998	Hockway	395	707	Jan. 29, 1996
	5,930,509	07/27/1999	Yates	395	707	Jan. 29, 1996
	5,949,415	09/07/1999	Lin	345	335	Jun. 16, 1997
	5,958,047	09/28/1999	Panwar	712	237	Jun. 25, 1997
	6,000,028	12/07/1999	Chernoff	712	226	Jan. 29, 1996
	Re.36,766	07/04/2000	Krauskopf	711	203	Aug. 21, 1992
	6,091,897	07/18/2000	Yates	395	708	Jan. 29, 1996

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 96/24895 Hammond	08/15/1996	PCT/US	G06F	9/22		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

	Burroughs, Preliminary Edition, B 1700 Systems Reference Manual, Burroughs Corporation (1972)
	Burroughs, B 1700 Systems Micro Implementation Language (MIL) Reference Manual, Burroughs Corporation (1973)
Not Considered	Anton Chernoff, et al., FX!32, A Profile-Directed Binary Translator, IEEE Micro, Vol. 18 No. 2 pp. 56-64 (March/April, 1998)

EXAMINER

Chas. G

DATE CONSIDERED

4-15-04

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 5231.9-4016	SERIAL NO. 09/425,401
INFORMATION DISCLOSURE CITATION <small>(Use several sheets if necessary)</small>		APPLICANT John S. Yates, Jr., et al.		FILING DATE October 22, 1999	
				GROUP ART UNIT 2751 2124	
RECEIVED <small>FEB 25 2002</small>					
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)					
<p><i>Not Considered</i></p> <p>Compaq Computer Corp., Compiler Writer's Guide for the Alpha 21264 (1999) Technology Center 2100</p>					
<p>T.M. Conte, et al., "Accurate and practical profile-driven compilation using the profile buffer," Proceedings of the 29th Annual International Symposium on Microarchitecture, Paris, France, pp. 36-45 (Dec. 1996)</p>					
<p><i>CIPE SC184</i></p> <p>T.M. Conte, et al., "Hardware based profiling: An effective technique for profile-driven optimization," International Journal of Parallel Programming, vol. 24, no. 2 (Feb. 1996)</p>					
<p><i>FEB 15 2002</i></p> <p>T.M. Conte, et al., "Using branch handling hardware to support profile-driven optimization," Proceedings of the 27th Annual International Symposium on Microarchitecture San Jose, CA (Dec. 1994)</p>					
<p>J.S. Cox et al., "Commercializing profile-driven optimization." Proceedings of the 28th Hawaii International Conference on System Sciences, vol. 1 Maui, HI, pp. 221-228 (Jan. 1995)</p>					
<p>Digital Equipment Corp., White Paper: How DIGITAL FX!32 Works (September 1997) http://www.digital.com/semiconductor/amt/fx32/fx-white.htm</p>					
<p>Ebcioiglu and Altman, IBM Research Report, DAISY: Dynamic Compilation for 100% Architectural Compatibility, IBM Research Division (1996)</p>					
<p>Linda Geppert et al., Transmeta's Magic Show, IEEE Spectrum, vol. 37 no. 5, pp. 26-33 (May 2000)</p>					
<p>Ronald M. Guffin, Microdiagnostics for the Standard Computer MLP-900 Processor, IEEE Transactions on Computers, Vol. C-20 No. 7, pp. 803-808 (July 1971)</p>					
<p>Linley Gwennap, MDR Technical Library Special Report, Intel's Merced and IA-64 Technology and Market Forecast, IA-64 Software Model - Chapter 3 excerpt Microprocessor Report, MicroDesign Resources (July 20, 1998)</p>					
<p>Linley Gwennap, MDR Technical Library Special Report, Intel's Merced and IA-64: Technology and Market Forecast, Executive Summary, Microprocessor Report, MicroDesign Resources (July 20, 1998)</p>					
<p>Linley Gwennap, First Merced Patent Surfaces, Intel Document Reveals Processors With Dual Instruction Sets, Microprocessor Report, MicroDesign Resources (July 20, 1998)</p>					
<p>R.E. Hank, et al., Proceeding of the 28th Annual International Symposium on Microarchitecture, pp. 158-168 (Dec. 1995)</p>					
<p>Raymond J. Hookway, et al., Combining Emulation and Binary Translation (August 28, 1997) http://www.digital.com/info/DTJP01HM.HTM</p>					
<p>Harold W. Lawson, Jr., et al., Functional Characteristics of a Multilingual Processor, IEEE Transactions on Computers, Vol. C-20, No. 7, pp. 732-742 (July, 1971)</p>					
<p><i>Not Considered</i></p> <p>K.N.P. Menezes, "Hardware-based profiling for program optimization," Ph.D. thesis, Department of Electrical and Computer Engineering, North Carolina State University, Raleigh, North Carolina (1997)</p>					
EXAMINER	<i>Chen, Q</i>		DATE CONSIDERED <i>4-14-04</i>		

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 5231.9-4016	SERIAL NO. 09/425,401
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT John S. Yates, Jr., et al.	
				FILING DATE October 22, 1999	GROUP ART UNIT 2751-2124
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)					
RECEIVED FEB 25 2002 Technology Center 2					
Nanodata Corporation, QM-1 Hardware level User's Manual (1975)					
Nanodata Corporation, QM-2 Processor (1976)					
Robert F. Rosin, Contemporary Concepts of Microprogramming and Emulation, Computing Surveys, Vol. 1 No. 4, pp. 197-212 (December 1969)					
Robert F. Rosin, An Environment for Research in Microprogramming and Emulation, Communications of the ACM, Vol. 15 No. 8, pp. 748-760 (August 1972)					
Standard Computer Corp., IC-9000 Central Processing Unit - Principles of Operation (undated - possibly 1969)					
W.T. Wilner, Design of the Burroughs B1700, Fall Joint Computer Conference, pp. 489-497 (1972)					
W.T. Wilner, Burroughs B1700 Memory Utilization, Fall Joint Computer Conference, pp. 579-586 (1972)					
EXAMINER <i>Chas. Q.</i> DATE CONSIDERED <i>4-14-04</i>					

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 005231/09-4016	SERIAL NO 09/425,401	
INFORMATION DISCLOSURE CITATION <small>(Use several sheets if necessary)</small>		APPLICANT John S. Yates, et al.		#10		
		FILING DATE October 22, 1999		GROUP ART UNIT 2151 2124		
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>Not Considered</i>	4,514,803	04/30/1985	Agnew	364	200	Apr. 26 1982
<i>10</i>	4,779,187	10/18/1988	Letwin			Apr. 10, 1985
<i>1</i>	4,812,975	03/14/1989	Adachi	364	300	Jul. 11, 1984
<i>1</i>	5,115,500	05/19/1992	Larsen			Jan. 11, 1988
<i>1</i>	5,155,835	10/13/1992	Belsan			Nov. 19, 1990
<i>1</i>	5,241,664	08/31/1993	Ohba			Jan. 7, 1991
<i>1</i>	5,301,287	04/05/1994	Herrell			Feb. 16, 1993
<i>1</i>	5,307,504	04/26/1994	Robinson	395	800	Mar. 7, 1991
<i>1</i>	5,335,331	08/02/1994	Murao			Jul. 12, 1991
<i>1</i>	5,361,340	11/01/1994	Kelly			Mar. 9, 1993
<i>1</i>	5,432,795	07/11/1995	Robinson	371	19	May 15, 1991
<i>1</i>	5,454,117	09/26/1995	Puziol	395	800	Aug. 25, 1993
<i>1</i>	5,481,684	01/02/1996	Richter	395	375	Jul. 20 1994
<i>1</i>	5,481,693	01/02/1996	Blomgren	395	375	Jul. 20, 1994
<i>1</i>	5,515,518	06/07/1996	Stiles	395	375	Jul. 5, 1994
<i>1</i>	5,542,109	07/30/1996	Blomgren	395	800	Aug. 31, 1994
<i>1</i>	5,568,646	10/22/1996	Jaggar			Sep. 19, 1994
<i>1</i>	5,574,927	11/12/1996	Scantlin	395	800	Nov. 12, 1996
<i>1</i>	5,598,546	01/28/1997	Blomgren	395	385	Aug. 31, 1994
<i>1</i>	5,608,886	03/04/1997	Blomgren	395	586	Aug. 31, 1994
<i>1</i>	5,619,666	04/08/1997	Coon et al.			Jun. 2, 1995
<i>1</i>	5,628,016	05/06/1997	Kukol	395	705	June 15, 1994
<i>1</i>	5,636,366	06/03/1997	Robinson	395	490	Oct. 30, 1995
<i>1</i>	5,652,869	07/29/1997	Herdeg	395	500	Dec. 28, 1994
<i>1</i>	5,664,159	09/02/1997	Richter	395	500	May 8, 1995
<i>1</i>	5,678,032	10/14/1997	Woods	395	500	Sept. 6, 1995
<i>1</i>	5,685,009	11/04/1997	Blomgren	395	800	Nov. 29, 1995
<i>1</i>	5,715,421	02/03/1998	Akiyama			Oct. 16, 1992
<i>1</i>	5,721,927	02/24/1998	Baraz	395	705	Aug. 7, 1996
<i>1</i>	5,751,982	05/12/1998	Morley	395	800	Mar. 31, 1995
<i>1</i>	5,754,878	05/19/1998	Asghar	395	800	Mar. 18, 1996
<i>1</i>	5,774,287	06/30/1998	Leonhardt			Dec. 9, 1994
EXAMINER <i>Chas. J.</i>		DATE CONSIDERED <i>4-15-03</i>				

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 005231/09-4016	SERIAL NO. 09/425,401
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT John S. Yates, et al.		FILING DATE October 22, 1999	GROUP ART UNIT 2451 2124
U.S. PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS
	5,774,686	06/30/1998	Hammond	395	385
	5,781,750	07/14/1998	Blomgren et al.	395	500
	5,781,792	07/14/1998	Asghar	395	800.35
	5,784,640	07/21/1998	Asghar	395	800.35
	5,790,824	08/04/1998	Asghar	395	385
	5,794,068	08/11/1998	Asghar	395	800.35
	5,838,962	11/17/1998	Larson	395	586
	5,838,978	11/17/1998	Buzbee	395	705
	5,847,955	12/08/1998	Mitchell		
	5,884,057	03/16/1999	Blomgren	395	375
	5,901,308	05/04/1999	Cohn		
	5,903,760	05/11/1999	Farber	395	707
	5,905,855	05/18/1999	Klaiber	395	183.07
	5,920,721	07/06/1999	Hunter	395	705
	5,935,220	08/10/1999	Lumpkin		
	5,958,061	09/28/1999	Kelly	714	1
	5,999,736	12/07/1999	Gupta		
	6,003,038	12/14/1999	Chen	707	103
	6,005,551	12/21/1999	Osborne		
	6,006,029	12/21/1999	Bianchi	395	500.45
	6,011,908	01/04/2000	Wing	395	182.17
	6,014,735	01/11/2000	Chennupaty	712	210
	6,021,265	02/01/2000	Nevill		
	6,021,489	02/01/2000	Poplingher	712	239
	6,026,478	02/15/2000	Dowling		
	6,029,004	02/22/2000	Bortnikov		
	6,031,992	02/29/2000	Cmelik	395	705
	6,032,247	02/29/2000	Asghar	712	35
	6,035,393	03/07/2000	Glew	712	237
	6,044,221	03/28/2000	Gupta		
	6,070,009	05/30/2000	Dean		
	6,081,665	06/27/2000	Nilsen et al.	395	705
EXAMINER <i>g. ch</i>		DATE CONSIDERED <i>4-15-04</i>			

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO 005231/09-4016	SERIAL NO 09/425,401	
INFORMATION DISCLOSURE CITATION <small>(Use several sheets if necessary)</small>				APPLICANT John S. Yates, et al.		
				FILING DATE October 22, 1999	GROUP ART UNIT 2151 2124	
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>Not Considered</i>	6,081,890	06/27/2000	Datta	713	1	Nov. 30, 1998
	6,154,857	11/28/2000	Mann			Dec. 17, 1997
	6,157,970	12/05/2000	Gafken			Sep. 24, 1997
	6,163,764	12/19/2000	Dulong et al.			Oct. 12, 1998
	6,175,957	01/16/2001	Ju			Dec. 9, 1997
	6,219,774	04/17/2001	Hammond et al.			Mar. 25, 1998
	6,226,789	05/01/2001	Tye			Jan. 29, 1996
	6,237,073	05/22/2001	Dean			Nov. 26, 1997
	6,240,526	05/29/2001	Petivan			Oct. 27, 1999
	6,253,215	06/26/2001	Agesen			Aug. 17, 1998
	6,351,784	02/26/2002	Neal			Dec. 28, 1998
	6,374,369	04/16/2002	O'Donnell			May 21, 1999
	6,397,379	05/28/2002	Yates			Oct. 28, 1999
	6,405,327	06/11/2002	Sipple			Aug. 19, 1998
	6,463,582	10/08/2002	Lethin			Oct. 21, 1998
	6,470,492	10/22/2002	Bala			May 14, 1999
	6,477,683	11/05/2002	Killian			Feb. 5, 1999
	6,480,862	11/12/2002	Gall			Apr. 23, 1999
	6,496,922	12/17/2002	Borrill			Oct. 31, 1994
	FOREIGN PATENT DOCUMENTS					
<i>Not Considered</i>	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	EP 0 324 308 Larsen	07/19/1989	EPO	G06F	9/30	
	WO 97/50031 Farber	12/31/1997	PCT/US	G06F	9/455	
	WO 98/13740 Wing	04/02/1998	PCT/US	G06F		
	WO 98/28689 Wing	07/02/1998	PCT/US	G06F	11/00	
	WO 98/38575 Klaiber	09/03/1998	PCT/US	G06F	11/00	
	WO 98/59292 Cmelik	12/30/1998	PCT/US	G06F	9/45	
	WO 99/03037 Kelly	01/21/1999	PCT/US	G06F	11/00	
	WO 99/08188 Kelly	02/18/1999	PCT/US	G06F	11/00	
	WO 99/08191 Kelly	02/18/1999	PCT/US	G06F	12/00	
EXAMINER <i>Chen, Q</i>	DATE CONSIDERED <i>4-15-04</i>					

9420361.1